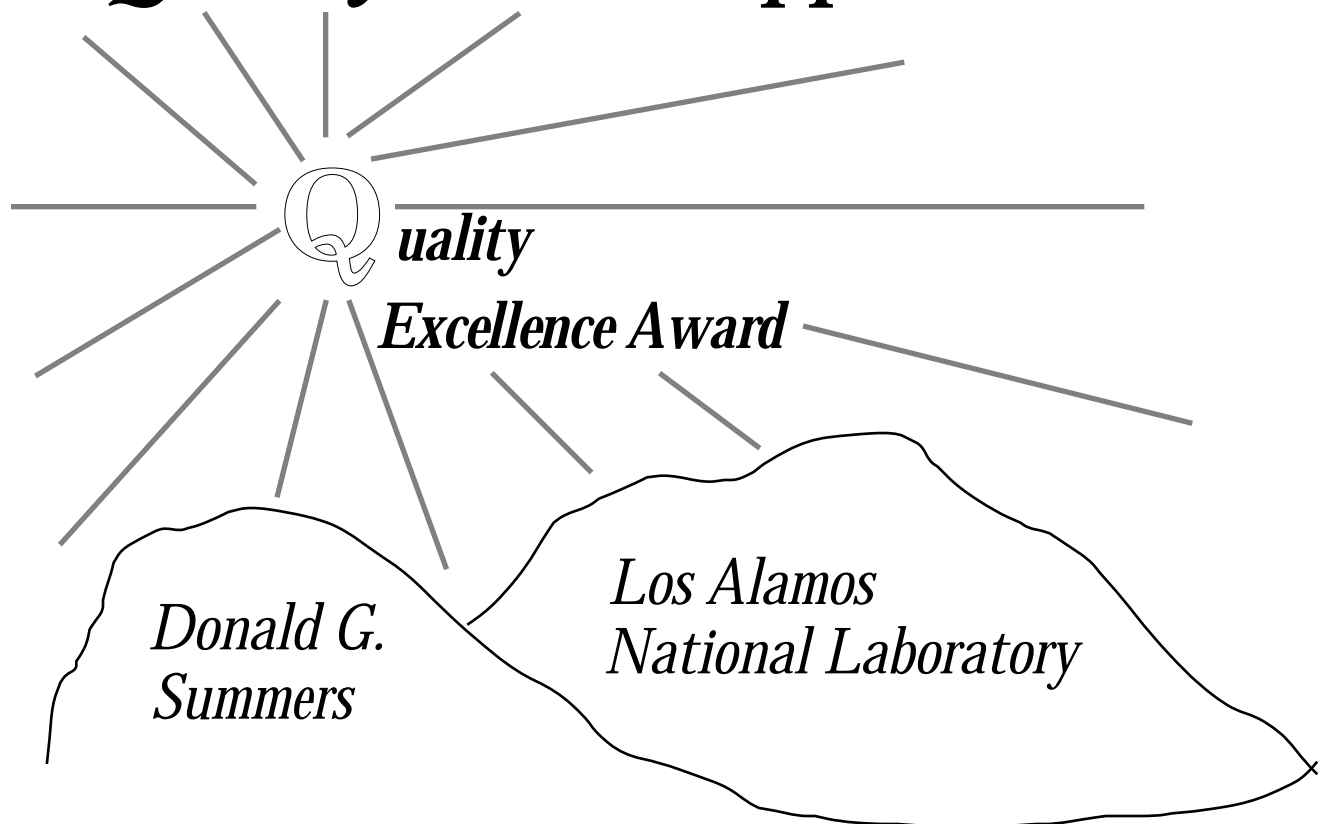




***Don Summers/
Los Alamos National
Laboratory***

Quality Award Application



1995

Don Summers/LANL Quality Award Application

Overview

There's a powerful new tool to help you qualify facilities for the Don Summers Quality Award (DSQA). The award has been established to provide for a common understanding of quality program progress and performance at LANL nuclear facilities. In addition, it provides the basis for recognizing outstanding programs.

Applicants will complete a 34 question survey that covers the 10 core criteria areas of 10 CFR 830.120 and DOE Order 5700.6C. As such, they address important topics such as process control, customer support, and management commitment to continuous improvement.

The DSQA qualification survey may also prove beneficial as a quality improvement tool for others in the Laboratory that are subject to DOE Order 5700.6C.

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Procedures

1. Requirements For Use
 - A minimum of two examiners shall be used to conduct the Survey.
 - The examiners must have credentials in one or more of the following:
 - ISO Assessor
 - Malcolm Baldrige Quality Award examiner
 - Certified Quality Assessor (CQA) or equivalent
 - NQA-1 Lead Auditor Certification
 - ESH-14 shall conduct the qualification of candidate facilities. The score is confidential, and can only be shared with the facility's permission.
2. Document Control
 - This document shall be reviewed annually by ESH-14. Changes or modifications shall be reviewed and new revisions released as appropriate.
 - Each page of the document shall have the revision in the upper or lower right hand side.
 - The format of the revisions is: "Page #; rev. x.x (mm/yy)".
 - ESH-14 shall maintain a master list of each facility that has received a copy of the Survey. If changes are made to the document, those facilities will be notified in writing by ESH-14.

Scoring Guideline and Instructions

3. Scoring
 - 3.1 Scoring System
 - Each item within the Survey is assigned a numerical weight. The numerical weights by item and category, when calculated with the percentage score assigned by the examiners, will provide a maximum possible score of 1,000 points.
 - Each facility is free to alter the weight assignment to best meet their needs. The applicant must ensure that in the assignment or realignment of weights, the items and category weights maintain an overall point total of 1,000.
 - Documentation necessity may vary. In examining a Facility's Quality System, some consideration should be given to the issue of "knowledge preservation." To what degree does the lack of documentation increase the risk of inconsistent performance or in the event of the loss of key personnel, loss of continuity in maintaining the key processes? As Hinted in 10 CFR 830.120, standards have minimum acceptable

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documentation requirements for compliance. To the degree that the surveying organization requires compliance with these standards, formal documentation may be mandatory when it forms a part of the item question.

3.2 Examination Score Assignments

- Scores are assigned by examiners in a percentage system similar to that used in the Baldrige assessment process. This scoring system is intended for use by ESH-14 only, not the facility.
- Scores are assigned in percentages ranging from 0-100%.
- When used by the examination team, it is recommended that team members pair and obtain independent opinions of the facility's rating in each item. When used in this manner, examiners are encouraged to assign percentage scores in 25% intervals and at the conclusion of the assessment, arrive at a consensus and average percent score that may not be exactly an even 25 percentage point rating.

3.3 Scoring Application

As applied in each item, the scoring reflects varying degrees of acceptability of the facility's quality system. For example, questions that ask whether documentation is present or where a notation is made requiring documentation as a condition of compliance should be scored as "0" if no documentation exists. Documentation, depending on the item focus, must be in the form of written policies, procedures, or records.

- Results in the form of documented in process or out going quality levels become a significant factor in verifying the effectiveness of the quality system in the higher scoring brackets. Defect rates, training, occurrences, and similar activities may be viewed as evidence that the quality system is effective in achieving results.

Scoring Guideline

N/A	Not applicable. Used when the item is not a factor required by the surveying organization AND when the absence of the item does not affect the function of the quality system. Score weights for N/A items should be transferred to other items to maintain the 1000 point maximum possible score.
0%	The item is not addressed by the facility, either informally (undocumented) or in documented policies, procedures, or records. The item must either be addressed by WRITTEN policies, procedures, or records; or a plan must exist to prepare and implement such documentation. Lacking these elements, a score of 0% should be assigned.
25%	The item or documentation exists or is addressed in the facility's quality systems, but no evidence exists that it has been implemented or is being followed.
50%	The item or procedure is present in the facility's quality system but implementation is inconsistent from area to area.
75%	The item or procedure is satisfactorily implemented and meets the minimal acceptable standards.
100%	The item or procedure exceeds all requirements and is representative of facility performance in implementation and effectiveness.

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1 - PROGRAM

	% SCORE	WEIGHT	TOTAL
1. To what extent has the organization defined and planned the implementation of a management system that incorporates the methods for managing, performing, and assessing the work of the organization?		14.28	

Hints: support your Rating Score by providing a description of the management system, the implementation plan (schedules, milestones, and activities), and how they address management, performance, and assessment of work.

Comment/Describe:

	% SCORE	WEIGHT	TOTAL
2. To what extent are (1) organizational structure, (2) functional responsibilities, (3) levels of authority, and (4) organizational interfaces adequately defined and communicated?		14.28	

Hints: support your Rating Score by providing a description of how each of the four identified areas are defined and communicated.

Comment/Describe:

	% SCORE	WEIGHT	TOTAL
3. To what extent is a necessary and sufficient approach used to determine the applicability of management system controls to the work of the organization?		14.28	

Hints: support your Rating Score by providing a description of the factors utilized in grading (e.g. level of risk, history, complexity of products or services involved, etc.)

Comment/Describe:

	% SCORE	WEIGHT	TOTAL
4. To what extent do the organization's senior management maintain an environment for quality excellence through leadership, personal involvement and visibility?		14.28	

Hints: support your Rating Score by providing a description of how your senior management maintain an environment for quality excellence through leadership, personal involvement and visibility, including: (1) creating and reinforcing a customer focus and quality values; (2) setting expectations and planning; (3) reviewing quality and operational performance; (4) recognizing employee contributions; and (5) communicating quality values outside the company. Activities might also include determining and providing necessary resources, leading or receiving training, communicating with employees, and mentoring managers and supervisors.

"Senior management" means the organization's highest ranking official and those reporting directly to that official.

Comment/Describe:

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% SCORE WEIGHT TOTAL

5. To what extent are the organization's performance objectives translated into requirements and assignments for all managers and supervisors?

	14.28	
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Hints: support your Rating Score below by providing a description of your process for assuring manager's and supervisor's accountability for the organization's performance objectives.

Comment/Describe:

% SCORE WEIGHT TOTAL

6. To what extent are your organization's customer focus and quality values communicated and reinforced throughout the entire work force?

	14.28	
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Hints: support your Rating Score by providing in your response below, a description of how your company's customer focus and quality values are communicated and reinforced throughout the entire work force.

Comment/Describe:

% SCORE WEIGHT TOTAL

7. To what extent has your organization deployed its quality plan?

	14.28	
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Hints: Support your Rating Score by providing in your Response below, descriptions of (1) progress in implementing your quality plan; and (2) how resources are committed to meet plan requirements.

Comment/Describe:

2 - PERSONNEL QUALIFICATION AND TRAINING

% SCORE WEIGHT TOTAL

8. To what extent has the organization developed and maintained personnel selection requirements for each position in the organization?

	25	
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Hints: support your Rating Score by providing a description of the method for developing and maintaining selection requirements and the current level of implementation of the method.

Comment/Describe:

% SCORE WEIGHT TOTAL

9. To what extent has the organization developed and implemented a process for ensuring that employees are suitably qualified to perform their assigned tasks prior to their performing the assigned work?

	25	
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Hints: support your Rating Score by providing a description of the method for qualification of personnel and the current level of implementation of the method.

Comment/Describe:

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	% SCORE	WEIGHT	TOTAL
10. To what extent does training provide employees with knowledge of the correct processes and methods for accomplishing their assigned tasks?		25	

Hints: support your Rating Score by providing a description of the process the organization uses for determining training requirements for employees, the method used to ensure employees are provided with required training, the method for establishing the adequacy and currency of training, and the method for evaluating and monitoring the effectiveness of training. Describe the extent to which these methods have been implemented.

Comment/Describe:

	% SCORE	WEIGHT	TOTAL
11. To what extent does your organization deliver and reinforce quality and related education and training?		25	

Hints: Support your Rating Score by providing a description of how quality and related education and training are delivered and reinforced. Quality and quality related training and education address knowledge and skills needed to deploy the management system. This might include quality awareness, leadership, project management, communications, teamwork, problem solving, practical statistics, customer service, process analysis, and other training that affects employee effectiveness, efficiency, and safety.

Comment/Describe:

3 - QUALITY IMPROVEMENT

	% SCORE	WEIGHT	TOTAL
12. To what extent has your organization developed and implemented systematic approaches to pursuing quality improvement?		25	

Hints: Support your Rating Score by providing a description of systematic approaches or methods (e.g. nonconformance reporting system, corrective action methods, P-D-C-A, re-engineering methods, benchmarking methods, CQI initiatives, etc.) that your organization has developed or implemented.

Comment/Describe:

	% SCORE	WEIGHT	TOTAL
13. To what extent does your organization select and manage data and information for use in quality and operational performance improvement?		25	

Hints: Support your Rating Score by describing the key types of data and information used and briefly outline the principal roles of each type in improving quality and operational performance. Differentiate: (1) customer-related; (2) product and service performance; (3) internal operations and performance, including business and support services, and employee-related; (4) supplier performance; and (5) cost and financial.

Comment/Describe:

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	% SCORE	WEIGHT	TOTAL
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14. To what extent are your trends and current levels for the key measures and/or indicators of product and service quality continuously improving?		25	
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Hints: Support your Rating Score by a description of your trends and current levels for the key measures and/or indicators of product and service quality. Key product and service measures represent the most important factors that predict quality system effectiveness. Examples include measures of accuracy, reliability, timeliness, performance, behavior, delivery, documentation, and effective corrective action. Results reported in response to this question should reflect all key processes identified in response to question 18.

Comment/Describe:

	% SCORE	WEIGHT	TOTAL
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15. To what extent does your organization ensure that formal and informal issues and feedback received by all organizational units are resolved effectively and promptly?		25	
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Hints: Support your Rating Score by providing a description of who your organization ensures that formal and informal complaints and feedback received by all organizational units are resolved effectively and promptly. Briefly describe the issue management process.

Comment/Describe:

4 - DOCUMENTS AND RECORDS

	% SCORE	WEIGHT	TOTAL
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16. To what extent has the organization developed and implemented a method for (1) identifying records requiring formal controls and (2) determining retention, protection, preservation, and retrievability requirements for such records?		50	
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Hints: support your Rating Score by providing a description of the method and the effectiveness of its implementation.

Comment/Describe:

	% SCORE	WEIGHT	TOTAL
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17. To what extent has the organization established and implemented a process for distribution, accountability, and revision of documents identified for control?		50	
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Hints: support your Rating Score by providing a description of the process and the effectiveness of its implementation.

Comment/Describe:

5 - WORK PROCESSES

	% SCORE	WEIGHT	TOTAL
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18. To what extent has the organization identified its work processes that are critical to accomplishing the organization's mission?		25	
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Hints: support your Rating Score by providing a description of the identified critical work processes.

Comment/Describe:

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% SCORE WEIGHT TOTAL

19. To what extent has the organization documented authorities, responsibilities, organizational interfaces, procedures, standards, and performance measurements for its critical processes?

Hints: support your Rating Score by providing a description of how critical work processes are documented and the proportion of work processes identified as critical that have been so documented. Describe how work process documents address such process elements as special process considerations, prevention of use of incorrect or defective items, traceability requirements, storage requirements, or handling requirements when they are applicable.

Comment/Describe:

% SCORE WEIGHT TOTAL

20. To what extent is the organization's work process documentation an effective tool for assisting the worker in proper performance of work?

Hints: support your Rating Score by providing a description of the accessibility of work process documents and the extent to which they reflect the actual performance of work.

Comment/Describe:

% SCORE WEIGHT TOTAL

21. To what extent does your organization maintain the quality and operational performance of its critical work processes?

Hints: Support your Rating Score by providing in your Response below, a description of how your organization maintains the quality and operational performance of the production/delivery processes described in question 18. Describe: (1) key processes requirements and how performance is tracked and maintained; (2) for significant (out-of-control) variations in processes or outputs, how root causes are determined; and (3) how corrections of variation are made, verified, and integrated into process management.

Comment/Describe:

6 - DESIGN

% SCORE WEIGHT TOTAL

22. To what extent has the organization established and implemented a process for definition, control, and verification of the design of systems, structures, and components that are critical to accomplishing the organization's mission?

Hints: support your Rating Score by providing a description of the process and the effectiveness of its implementation.

Comment/Describe:

% SCORE WEIGHT TOTAL

23. To what extent are your organization's products, services and production/delivery design processes meeting your internal and external customer expectations?

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Hints: Support your Rating Score by providing in your Response below, descriptions of how your products, services and production/delivery processes are designed. Describe: (1) how customer requirements are translated into product and service design requirements; (2) how product and service design requirements together with the company's operational performance requirements, are translated into production/delivery processes, including an appropriate measurement plan; (3) how all product and service quality requirements are addressed early in the overall design process by appropriate company units; and (4) how designs are coordinated and integrated to include all phases of production and delivery.

Comment/Describe:

	% SCORE	WEIGHT	TOTAL
24. To what extent are your product, service, and production/delivery process designs reviewed and validated?		33.333	

Hints: Support your Rating Score by providing in your Response below, a description of how your product, service and production/delivery process designs are reviewed and validated, taking into account key factors: (1) overall product and service performance; (2) process capability and future requirements; and (3) supplier capability and future requirements.

Comment/Describe:

7 - PROCUREMENT

	% SCORE	WEIGHT	TOTAL
25. To what extent has the organization established and implemented a method for identifying which procurements of items or services to be used in performing work will contain quality assurance provisions?		25	

Hints: support your Rating Score by providing a description of the method and the effectiveness of its implementation. The stringency of procurement requirements should be commensurate with the importance of the purchased items or services (graded approach).

Comment/Describe:

	% SCORE	WEIGHT	TOTAL
26. To what extent has the organization established and implemented guidance for applying and documenting quality assurance controls for procurements identified as requiring such controls?		25	

Hints: support your Rating Score by providing a description of the guidance and the effectiveness of its implementation.

Comment/Describe:

	% SCORE	WEIGHT	TOTAL
27. To what extent are your organization's quality requirements defined and communicated to suppliers?		25	

Hints: Support your Rating Score by providing a description of how your quality requirements are defined and communicated to suppliers. Include a brief summary of the principal quality requirements for key suppliers.

Comment/Describe:

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	% SCORE	WEIGHT	TOTAL
28. To what extent does your organization determine whether or not its quality requirements are met by suppliers?		25	

Hints: Support your Rating Score by providing in your Response below, a description of how your organization determines whether or not its quality requirements are met by suppliers. Describe how performance information is fed back to suppliers. Determining how quality requirements are met might include audits, process reviews, receiving inspection, certification, testing, and rating systems.

Comment/Describe:

8 - INSPECTION AND TESTING

	% SCORE	WEIGHT	TOTAL
29. To what extent has the organization established and implemented methods for identifying inspection and test requirements for systems, structures, and components that will be used in performing work?		50	

Hints: support your Rating Score by providing a description of the method and the effectiveness of its implementation.

Comment/Describe:

	% SCORE	WEIGHT	TOTAL
30. To what extent has the organization defined and implemented effective processes for conducting and documenting inspection and testing of systems, structures, and components that require inspection or testing prior to their use in performing work?		50	

Hints: support your Rating Score by providing a description of the processes and the effectiveness of their implementation. Address qualification and independence of personnel performing and documenting inspection/test requirements and maintenance and calibration of instruments and equipment used in performing inspections/tests.

Comment/Describe:

9 - MANAGEMENT ASSESSMENT

	% SCORE	WEIGHT	TOTAL
31. To what extent does your organization assess its systems, processes, products and services?		50	

Hints: Support your Rating Score by providing in your Response below, a description of how your organization assesses: (1) systems and processes; and 2) products and services. For (1) and (2) describe: (a) what is assessed; (b) how often assessments are made and by whom; and (c) how measurement quality and adequacy of documentation of processes are assured.

Comment/Describe:

	% SCORE	WEIGHT	TOTAL
32. To what extent (and how) are management assessment findings used to improve your products, services, systems, processes, supplier requirements and the assessment processes?		50	

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Hints: Support your Rating Score by providing a description of how management assessment results are used to improve: products and services; systems; processes; supplier requirements; and the assessment processes. Include how your organization verifies that assessment findings are acted upon and that the actions are effective. Address how the organization assists units that are not performing according to plans.

Comment/Describe:

10 - INDEPENDENT ASSESSMENT

% SCORE	WEIGHT	TOTAL
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33. To what extent are independent assessments utilized to obtain an independent perspective on the effectiveness of the organization with regards to meeting the requirements and expectations of customers and achieving the organization's mission?	50	
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Hints: support your Rating Score by providing a description of the extent to which independent assessments are employed to evaluate the organization's performance.

Comment/Describe:

% SCORE	WEIGHT	TOTAL
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34. To what extent (and how) are independent assessment findings used to improve your products, services, systems, processes, supplier requirements and the assessment processes?	50	
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Hints: Support your Rating Score by providing a description of how independent assessment results are used to improve: products and services; systems; processes; supplier requirements; and the assessment processes. Include how your organization verifies that assessment findings are acted upon and that the actions are effective. Address how the organization assists units that are not performing according to plans.

Comment/Describe: